

04/05/01

# UTILITY PATENT APPLICATION TRANSMITTAL

For new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.

1954-332

First Inventor

David E. COMINGS

Title

METHOD OF PROFILING GENES AS RISK FACTORS FOR  
ATTENTION DEFICIT HYPERACTIVITY DISORDER

Assignee Information: City of Hope  
Duarte, CA

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [ 40 ]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross references to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) (Total Sheets) [ 10 ]
5. ☐ Oath or Declaration (Total Pages) [ ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application  
(37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)

**[Note Box 5 below]**

  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,
6. ☐ Application Data Sheet.

ADDRESS TO:

Assistant Commissioner of Patents  
Box Patent Application  
Washington, D.C. 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper (2 pages)
  - c. ☒ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement / PTO 1449
  - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i).
17. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner \_\_\_\_\_

Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

☒ Customer Number or Bar Code Label 6449

Address	Rothwell, Figg, Ernst & Manbeck Suite 701-East, 555 13th Street, N.W.				
City	Washington	State	D.C.	Zip Code	20004
Country	U.S.A.	Telephone	202-783-6040	Fax	202-783-6031
Name	Stephen A. Saxe, Ph.D., Reg. No. 38,609				
Signature	Stephen A. Saxe			Date	April 5, 2001

1c872 U.S. PTO  
09/825922

04/05/01

<b>FEE TRANSMITTAL for FY 2001 (Small Entity)</b>		Complete if Known	
		Application Number	New Application
		Filing Date	5 April 2001
		First Named Inventor	David E. COMINGS
		Examiner Name	To Be Assigned
		Group Art Unit	To Be Assigned
Total Amount of Payment	(\$1,261.00	Attorney Docket Number	1954-332

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.

2. ☒ Payment Enclosed:

☒ Check  
☐ Credit Card

**FEE CALCULATION**
**1. FILING FEE**

Code	Fee \$	Fee Description	Fee Paid
201	355	Utility filing fee	\$355.00
206	160	Design Filing Fee	
207	245	Plant Filing Fee	
208	355	Reissue Filing Fee	
214	75	Provisional Filing Fee	

**SUBTOTAL \$355.00**

**2. CLAIMS**

Total Claims	Extra Claims	Fee	Fee Paid
[ 54 ] - 20** = [ 34 ] x		\$ 9 =	[\$306]
Independent			
Claims [ 18 ] - 3** = [ 15 ] x		40 =	[\$600]
Multiple Dependent Claims +		135 =	

\*\*or number previously paid, if greater;

**SUBTOTAL \$906.00**

**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

Fee Code	Fee Paid	Fee Description	Fee Paid
205	65	Surcharge - late filing fee or oath	
227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
215	55	Extension for reply within first month	
216	195	Extension for reply within second month	
217	445	Extension for reply within third month	
218	695	Extension for reply within fourth month	
228	945	Extension for reply within fifth month	
219	155	Notice of Appeal	
220	155	Filing a brief in support of an appeal	
221	135	Request for Oral Hearing	
138	1,510	Petition to institute a public use proceeding	
240	55	Petition to revive -unavoidable	
241	640	Petition to revive - unintentional	
242	620	Utility issue fee (or reissue)	
243	220	Design issue fee	
244	300	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Processing fee under 37 CFR 1.17(q)	
126	180	Submission of Information Disclosure Statement	
581	40	Recording each patent assignment per property (times number of properties)	
246	355	Filing a submission after final rejection (37 CFR .129(a))	
249	355	For each additional invention to be examined (37 CFR 1.129(b))	
279	355	Request for Continued Examination (RCE)	
169	900	Request for expedited examination of a design application	
195	300	Publication fee for early, voluntary, or normal publication	
196	300	Publication fee for republication	
089	200	Filing an application for patent term adjustment	
090	400	Request for reinstatement of term reduced	
		Other fee (specify)	

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$**

SUBMITTED BY		Complete (if applicable)	
NAME AND REG. NUMBER	Stephen A. Saxe, Ph.D., Reg. No. 38,609		
SIGNATURE	DATE	DEPOSIT ACCOUNT USER ID	
<i>Stephen A. Saxe</i>	<i>April 5, 2001</i>		